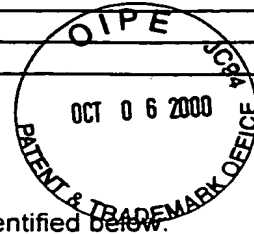


Applicant or Patentee: OY FINNISH IMMUNOTECHNOLOGY LTD. Attorney's Dkt. No. 227-135  
Serial or Patent No.: 09/622,976  
Filed or Issued: \_\_\_\_\_  
For: Self-replicating vector for DNA immunization against HIV

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS [37 19(f) and 1.27(c)] - SMALL BUSINESS CONCERN**



I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below.

NAME OF CONCERN OY FINNISH IMMUNOTECHNOLOGY LTD.  
ADDRESS OF CONCERN Lenkkeilijätkatu 8, FIN-33520 Tampere, Finland

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled:

Self-replicating vector for DNA immunization against HIV

by inventors Marja Tähtinen, Pärt Peterson, Kai Krohn and Päivi Annamari Ranki described in

- ☐ the specification filed herewith.  
☒ application Serial No. 09/622,976, filed \_\_\_\_\_  
☐ patent No. \_\_\_\_\_, issued \_\_\_\_\_

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor who could not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27)

Name \_\_\_\_\_  
Address \_\_\_\_\_  
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Name \_\_\_\_\_  
Address \_\_\_\_\_  
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application of patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.28(b)]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING PEKKA SILLANAUKEE  
TITLE OF PERSON OTHER THAN OWNER CEO, MANAGING DIRECTOR  
ADDRESS OF PERSON SIGNING Lenkkeilijätk. 8, FIN-33520 Tampere, FINLAND  
SIGNATURE *PEKKA SILLANAUKEE* DATE 27. Sept. 2000  
PEKKA SILLANAUKEE  
CEO

Case No. \_\_\_\_\_

09627976 .100600

06 OCT 2001  
Nixon & Vanderhye P.C. (12/97)RULE 63 (37 C.F.R. 1.63)  
DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name, and I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Self-replicating vector for DNA immunization against HIV

the specification of which (check applicable box(es)):

☐ is attached hereto☐ was filed on \_\_\_\_\_

as U.S. Application Serial No. \_\_\_\_\_

☒ was filed as PCT International application No. PCT/FI99/00152 on 26 February 1999and (if applicable to U.S. or PCT application) was amended on 21 February 2000

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with 37 C.F.R. 1.56. I hereby claim foreign priority benefits under 35 U.S.C. 119/365 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed or, if no priority is claimed, before the filing date of this application:

Priority Foreign Application(s):

Application Number

Country

Day/Month/Year Filed

980463Finland27 February 1998

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below.

Application Number

Date/Month/Year Filed

I hereby claim the benefit under 35 U.S.C. 120/365 of all prior United States and PCT international applications listed above or below and, insofar as the subject matter of each of the claims of this application is not disclosed in such prior applications in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose material information as defined in 37 C.F.R. 1.56 which occurred between the filing date of the prior applications and the national or PCT international filing date of this application:

Prior U.S./PCT Application(s):

Application Serial No.

Day/Month/Year Filed

Status: patented  
pending, abandoned

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon. And I hereby appoint NIXON & VANDERHYE P.C., 1100 North Glebe Rd., 8<sup>th</sup> Floor, Arlington, VA 22201-4714, telephone number (703) 816-4000 (to whom all communications are to be directed), and the following attorneys thereof (of the same address) individually and collectively my attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and with the resulting patent: Arthur R. Crawford, 25327; Larry S. Nixon, 25640; Robert A. Vanderhye, 27076; James T. Hosmer, 30184; Robert W. Faris, 31352; Richard G. Besha, 22770; Mark E. Nusbaum, 32348; Michael J. Keenan, 32106; Bryan H. Davidson, 30251; Stanley C. Spooner, 27393; Leonard C. Mitchard, 29009; Duane M. Byers, 33363; Jeffry H. Nelson, 30481; John R. Lastova, 33149; H. Warren Burnam, Jr., 29366; Thomas E. Byrne, 32205; Mary J. Wilson, 32956; J. Scott Davidson, 33489; Alan M. Kagen, 36178; William J. Griffin, 31260; Robert A. Molan, 29834; B. J. Sadoff, 36663; James D. Berquist, 34776; Updeep S. Gill, 37334.

Inventor's Signature: MariaInventor: MariaDate: 27.9.2000TAHTINENFinnish  
(citizenship)Residence: (city) Tampere

MI

(state/country) FinlandPost Office Address: Kurunniitynkatu 2, FIN-33730 Tampere, Finland FIX

(Zip Code)

Inventor's Signature: PärtInventor: PärtDate: 27.9.2000PETERSONEstonian  
(citizenship)Residence: (city) Tampere

MI

(state/country) FinlandPost Office Address: Kaskitie 13 F, FIN-33540 Tampere, Finland FIX

(Zip Code)

Inventor's Signature: KaiInventor: KaiDate: 27.9.2000KROHNFinnish  
(citizenship)Residence: (city) Salmentaka

MI

(state/country) FinlandPost Office Address: Salmentaantie 751, FIN-36450 Salmentaka, Finland FIX

(Zip Code)

FOR ADDITIONAL INVENTORS, check box ☒ and attach sheet with same information and signature and date for each.

264641

**RULE 63 (37 C.F.R. 1.63)**  
**DECLARATION AND POWER OF ATTORNEY**  
**FOR PATENT APPLICATION**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Inventor's Signature:		Date:	
Inventor:	Päivi A. Ranki	27.9.2000	Finnish
	(first) MI (last) (citizenship)		
Residence: (city)	Helsinki	(state/country)	Finland
Post Office Address:	Sibeliuksenkatu 11 B 28, FIN-00250 Helsinki, Finland		
(Zip Code)	FIX		
5. Inventor's Signature: _____ Date: _____			
Inventor:	_____	_____	_____
	(first) MI (last) (citizenship)		
Residence: (city)	_____	(state/country)	_____
Post Office Address:	_____		
(Zip Code)	_____		
6. Inventor's Signature: _____ Date: _____			
Inventor:	_____	_____	_____
	(first) MI (last) (citizenship)		
Residence: (city)	_____	(state/country)	_____
Post Office Address:	_____		
(Zip Code)	_____		
7. Inventor's Signature: _____ Date: _____			
Inventor:	_____	_____	_____
	(first) MI (last) (citizenship)		
Residence: (city)	_____	(state/country)	_____
Post Office Address:	_____		
(Zip Code)	_____		
8. Inventor's Signature: _____ Date: _____			
Inventor:	_____	_____	_____
	(first) MI (last) (citizenship)		
Residence: (city)	_____	(state/country)	_____
Post Office Address:	_____		
(Zip Code)	_____		
9. Inventor's Signature: _____ Date: _____			
Inventor:	_____	_____	_____
	(first) MI (last) (citizenship)		
Residence: (city)	_____	(state/country)	_____
Post Office Address:	_____		
(Zip Code)	_____		
10. Inventor's Signature: _____ Date: _____			
Inventor:	_____	_____	_____
	(first) MI (last) (citizenship)		
Residence: (city)	_____	(state/country)	_____
Post Office Address:	_____		
(Zip Code)	_____		
11. Inventor's Signature: _____ Date: _____			
Inventor:	_____	_____	_____
	(first) MI (last) (citizenship)		
Residence: (city)	_____	(state/country)	_____
Post Office Address:	_____		
(Zip Code)	_____		
12. Inventor's Signature: _____ Date: _____			
Inventor:	_____	_____	_____
	(first) MI (last) (citizenship)		
Residence: (city)	_____	(state/country)	_____
Post Office Address:	_____		
(Zip Code)	_____		